

**BY ORDER OF THE  
SECRETARY OF THE AIR FORCE**

**AIR FORCE INSTRUCTION 31-501**

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**AIR FORCE MATERIEL COMMAND  
Supplement 1**

**1 JUNE 1995**

**Security**

**PERSONNEL SECURITY PROGRAM  
MANAGEMENT**

**COMPLIANCE WITH THIS PUBLICATION IS MANDATORY**

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This instruction implements Air Force Policy Directive (AFPD) 31-5, *Investigations, Clearances, and Program Requirements*. It provides guidance for personnel security investigations and clearance needs. Use this instruction with AFPD 31-5 and Department of Defense (DoD) Regulation 5200.2, *DoD Personnel Security Program*, January 1987. See chapter headings for parenthetical DoD cross-references.

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**(AFMC)** This supplement implements AFI 31-501, *Personnel Security Program Management*. It expands on the guidance in the AFI, applies to all organizations within AFMC, and delineates specific responsibilities. Use this supplement with AFPD 31-5, *Investigations, Clearances, and Program Requirements*, 2 May 1994, AFI 31-501, and Department of Defense (DoD) Regulation 5200.2-R, *DoD Personnel Security Program*, January 1987. This supplement applies to Air Force Reserve units and personnel tenant on AFMC installations. This is the initial publication of AFI 31-501/AFMC Supplement 1.

**SUMMARY OF REVISIONS**

This instruction aligns with AFPD 31-5; completely revises Air Force Regulation (AFR) 205-32; clarifies many areas; sets a time frame to submit personnel security questionnaires; allows designated officials to raise access levels under wartime conditions; identifies the office of primary responsibility for the Limited Access Authorization (LAA), Presidential Support Program, and Automated Security Clearance Approval System (ASCAS); delegates approval authority for LAAs to major commands (MAJCOM); implements: (1) the Single Scope Background Investigation (SSBI); (2) the 15-year secret periodic reinvestigation program; and (3) the reinvestigation requirement for breaks in service of 24 months; deletes the requirement for a 90-day Special Security File (SSF) status notification; and finally, it offers new guidance on (1) timely submission of periodic reinvestigations, and (2) foreign travel reporting.

(AFMC) This supplement supersedes AFR 205-32/AFMC Supplement 1, 1 July 1992, and is the initial publication of AFI 31-501/AFMC Supplement 1. It expands on the guidance provided by AFI 31-501.

**AFI 31-501, 2 May 1994, is supplemented as follows:**

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## Chapter 1

### GENERAL PROVISIONS (SEE DOD REGULATION 5200.2-R, CHAPTER I)

#### 1.1. Responsibilities:

**1.1. (AFMC) Responsibilities:** The AFMC Director of Security Police develops policy and issues implementation guidance for the AFMC Personnel Security Program and serves as the single Point of Contact for personnel security matters.

1.1.1. The Administrative Assistant to the Secretary of the Air Force (SAF/AA), 1720 Air Force Pentagon, Washington DC 20330-1720, serves as senior security official for the Air Force.

1.1.2. The Air Force Chief of Security Police (HQ USAF/SP), 1340 Air Force Pentagon, Washington DC 20330-1340, develops Air Force personnel security policy.

1.1.3. The Commander, Air Force Security Police Agency (AFSPA/CC), 8201 H Avenue SE, Kirtland AFB NM 87117-5664, issues guidance to the commands for implementing the personnel security program.

1.1.4. The 497th Intelligence Group/INS (497th IG/INS), 211 Brookley Avenue, Suite 200, Bolling AFB DC 20332-5108, serves as the Air Force central adjudication authority. They grant, deny, and revoke security clearance eligibility. The 497th IG/INS is also the Office of Primary Responsibility (OPR) for the Presidential Support Program and ASCAS.

#### 1.2. Purpose and Applicability:

**1.2. (AFMC) Purpose and Applicability:** Send requests for waivers, inquiries, and recommendations for changes through the servicing security activity (SSA) to HQ AFMC/SPP, 4225 Logistics Avenue, Suite 21, Wright-Patterson AFB OH 45433-5760.

1.2.1. Use this instruction with the DoD Regulation 5200.2-R and AFD 31-5 to implement the personnel security program. Additionally, the Air Force Handbook, (AFH) 31-502, *USAF Personnel Security Program*, outlines procedures used to create and manage an effective personnel security program.

1.2.2. Note that this instruction requires the collection and maintenance of personal information protected by the *Privacy Act of 1974*. The authority to collect and maintain this information is in Executive Orders 9397, 9838, 10450, 11652, and 12356; and 5 United States Code (U.S.C.) 7513, 7532, 7533; 10 U.S.C. 8013. Privacy Act systems of records notices F205 AF A, F205 AF SP A, F205 AFIS A, F205 AFSP A, F205 AFSCO C, F205 AFSCO A apply.

1.2.3. Submit waivers, inquiries, and recommendations for changes to this instruction through channels to the Headquarters Air Force Security Police Agency/SPI (HQ AFSPA/SPI), 8201 H Avenue SE, Kirtland AFB NM 87117-5664. Submit waivers to DoD Regulation 5200.2-R and AFD 31-5 through channels to HQ USAF/SPI, 1340 Air Force Pentagon, Washington DC 20330-1340.

## Chapter 2

### IMPLEMENTING POLICY GUIDANCE (SEE DOD REGULATION 5200.2-R, CHAPTER II)

**2.1. Types and Scope of Personnel Security Investigations (PSI).** The investigations listed in DoD Regulation 5200.2-R and this instruction are the only PSIs authorized. The Secretary of the Air Force and or the Assistant Secretary of Defense for Command, Control, Communications and Intelligence must approve raising or lowering the scope of the authorized investigation type. See [Attachment 2](#).

2.1.1. An Entrance National Agency Check (ENTNAC) is used primarily for military members entering service. There are two types of ENTNACs, automated and manual. [Table A3.1](#) lists those situations where each type of ENTNAC is authorized:

- **Automated ENTNAC:** Recruiting personnel prepare and forward information electronically.
- **Manual ENTNAC:** Authorized requesters (see [Chapter 5](#)) forwards a DD Form 398-2, **DoD National Agency Questionnaire (NAQ)**, to the Defense Investigative service (DIS) on the subject. Use it in those cases where: (1) a new accession is not eligible for an automated ENTNAC; (2) an ENTNAC has not been completed on a new enlistee upon arrival at a technical training school or upon arrival at the first duty station; or (3) to expand the ENTNAC investigation due to possible unfavorable information.

2.1.2. A National Agency Check (NAC) is valid for all requirements listed for an ENTNAC. See table A3-1.

- Officer Training School. Clearance requirements for officer training school selectees are outlined in Air Force Instruction (AFI) 36-2005, *Appointment in Commissioned*
- *Grades and Designation and Assignment in Professional Categories.*

2.1.3. SSBI requirements are outlined in [Table A3.2](#). The subject of the SSBI will complete DD Form 398, **Personnel Security Questionnaire (PSQ)**.

2.1.4. The authorized requester will use DD Form 1879, **DoD Request for Personnel Security Investigation**, to request SSBI investigations. Follow the instructions provided with the form.

2.1.5. The individual mobilization augmentee (IMA) routes the DD Form 1879 through the unit of assignment (or wherever the IMA is attached) to the authorized requester for processing.

2.1.6. National Agency Check plus Written Inquires (NACI) investigation is required on individuals assigned to nonsensitive and noncritical sensitive positions. The Civilian Personnel Flight (CPF) will submit a Standard Form 85, **Questionnaire for Non-Sensitive Positions**; Standard Form 85P, **Questionnaire for Public Trust Positions**; or Standard Form 86, **Questionnaire for Sensitive Positions**, as appropriate to the Office of Personnel Management (OPM).

**2.2. Access Level.** Unit commanders or staff agency chiefs must determine the level of access required to perform official duties and ensure subjects of an initial investigation or periodic reinvestigation:

- Submit required paperwork to the authorized requester within 30 days of the initial notification of investigative requirements.
- Have a minimum of 12 months retain ability.

**2.3. Authorized Personnel Security Investigative Agencies.** DIS conducts all PSIs for the Air Force. The Air Force Office of Special Investigations (AFOSI) personnel conduct the DIS portion of PSIs in oversea areas.

**2.4. Limitations and Restrictions.** A break in service of 24 months or longer invalidates an individuals personnel security clearance eligibility.

## Chapter 3

### REQUIREMENTS FOR SECURITY INVESTIGATIONS (SEE DOD REGULATION 5200.2-R, CHAPTER III)

**3.1. Civilian Employment.** The appointment of each civilian employee is subject to an investigation depending on the sensitivity of his or her position, except for reappointment when the break in employment is less than 24 months.

**3.1. (AFMC) Civilian Personnel Flights (CPF).** Submit status tracers on NACIs and recertifications of previous federal investigations for newly hired civilian employees at required intervals.

3.1.1. The commander or staff agency chief (or their designee) with position sensitivity authority prepares a waiver of preemployment investigative requirements when he or she determines an emergency exists and that a delay in appointment would adversely affect national security. The signed determination is filed by the CPF in the official personnel file.

3.1.2. The commander or staff agency chief must ensure procedures for preappointment to sensitive positions preclude an uncleared person from having access to classified information.

#### **NOTE:**

Follow up telephone or message requests with a copy of the preappointment investigation waiver within 48 hours to the 497th IG/INS.

**3.2. Military Appointment, Enlistment, and Induction.** Personnel appointed, enlisted, or inducted to the active or reserve forces of the Air Force must have a favorable personnel security investigation. Refer to [Chapter 2](#) for types of investigations.

3.2.1. The MAJCOM commander can waive the requirement to have a NAC for the mobilization of military retirees upon reentry to active duty after a break of more than 24 months.

**3.3. Security Clearance.** Additional procedures apply to persons with security clearances and granting of access.

3.3.1. In wartime or during national emergencies declared by the President, a general officer, wing commander, or wing commander equivalent may approve access to classified information at a higher level than authorized by existing security clearance eligibility. This authority can not be delegated. This does not apply to SCI access. AFMAN 14-304, *The Security, Use, and Dissemination of Sensitive Compartmented Information (SCI)*, provides guidance for requesting special purpose and emergency access.

3.3.2. The commander or staff agency chief will establish a SSF on personnel who refuse to sign Standard Form 312, **Classified Information Nondisclosure Agreement**. See procedures for establishing an SSF in [Chapter 8](#).

3.3.3. The MAJCOM/SP approves or disapproves all LAAs and conducts an annual recertification. Approvals are then sent to HQ USAF/SPI which provides a consolidated report to DoD. A favorable SSBI is the basis for approving an LAA. The 497th IG/INS adjudicates the SSBI and provides a written certificate to the authorized requester, with an information copy to HQ

USAF/SPI. Also see AFH 31-502 for additional guidance.



**3.3.3. (AFMC)** SSAs approve limited access authorizations (LAA) and send to HQ AFMC/SPP for final approval.

3.3.4. Refer to AFI 31-401, *Information Security Program Management*, for granting access to persons outside the Executive Branch.

3.3.5. A flag or general officer, a general court-martial convening authority or equivalent Senior Executive Service member, after coordinating with the servicing security activity, can authorize persons to have one-time access to a higher level of classified information than the security clearance eligibility. Documentation of this access is required.

**3.3.5. (AFMC)** Document IAW DoD 5200.2-R, paragraph 3-407.

3.3.6. Access to classified information at the level of clearance eligibility reflected on the ASCAS may be granted by unit commanders, staff agency chiefs, or other designated persons. Documentation of this access is not required.

**3.3.6. (AFMC)** One-time or infrequent access up to the level of clearance eligibility reflected on the automated security clearance approval system (ASCAS) roster may be granted by unit commanders, staff agency chiefs, or other designated persons. Documentation of this access is not required. If continuing access to the level of eligibility is required (at least two or three times a month on a recurring basis), change the SAR code to reflect the correct level of access. (See paragraph 7.4.1 of basic AFI.)

3.3.7. Historical researchers require a favorably completed NAC and must sign a Standard Form 312 before receiving access up to secret information. Use the following instructions to request a NAC:

- Complete DD Form 398-2.
- Check "Secret" and "Other" in the "Reason for Request" block. Type "See Item 14" in "Other" block and in item 14 type "Special Category, Historical Researcher." In the "Return Results To" block, annotate "Thru 497th IG/INS, Bolling AFB DC 20332-5108" followed by "TO: HQ USAF/HO, Bolling AFB DC 20332-5113".

3.3.8. The United States Air Force Historian (HQ USAF/HO), 170 Luke Avenue, Suite 400, Bolling AFB DC 20332-5113, will make the access determination.

**3.4. Special Access Programs and Sensitive Compartmented Information (SCI).** The Assistant Chief of Staff for Intelligence (HQ USAF/IN), 1700 Air Force Pentagon, Washington DC 20330-1700, controls access to SCI within the Air Force. Refer to AFMAN 14-304 for specific guidance on requesting investigations and granting access.

3.4.1. The 394th Personnel Processing Squadron (394 PPS/CFC), 1550 Wurtsmith Street, Suite 7, Lackland AFB TX 78236-5242, conducts interviews pertaining to individuals identified for SCI positions during basic military training. They also conduct interviews of individuals requiring Top Secret eligibility for Air Force specialty code retention and critical personnel reliability program certification.

3.4.2. An SCI screening interview is required for nominees to SCI positions and for nominees to SCI positions who are not SCI-indoctrinated including those with current SSBI. Generally, a representative from the special security office or a security manager will conduct the SCI pre-screening interview. The authorized requester marks the results of the interview on the DD Form 1879 and forwards a copy with the PSI package to DIS. If a personal interview cannot be conducted, state the reason on the DD Form 1879, Item 17. When the personal interview identifies potential disqualifying informa-

tion, nominating commanders coordinate with the servicing special security office or senior intelligence officer and decide whether or not to submit the request. When a decision is made not to submit the request refer to the SSF criteria requirements in [Chapter 8](#). If a decision is made to submit the request, forward the request along with the unfavorable information directly to DIS.

3.4.3. A single agency check (SAC) is required on the following categories of individuals associated with the subject of an SSBI (a) spouse or cohabitant, (b) immediate family, 18 years or older, ONLY if foreign born, and (c) family members born abroad to United States parents. Submit a DD Form 398-2, Page 3, Items 1-6 and 8. For category (c) people, also item 12. Additionally

- Submit a DD Form 398-2 if the individual acquires a spouse or cohabitant after an SSBI is completed. Forward a DD Form 398-2 (Page 3, Items 1-6 and 8) on the spouse or cohabitant via DD Form 1879 completed on the subject of the investigation.
- In the remarks section of the DD Form 398-2, place the statement "Request SAC. Individual is the **(RELATIONSHIP)** of **(NAME, RANK, SSN)** who is the subject of an SSBI."

3.4.4. The 497th IG/INS establishes operational procedures to request processing of clearances for presidential support nominees. See AFH 31-502 for instructions.

3.4.5. Refer to AFI 36-2104, *Nuclear Weapons Personnel Reliability Program* (PRP), for PRP clearance and investigative guidance.

**3.4.6. (Added-AFMC)** Refer to AFI 10-1102, Safeguarding the Single Operational Plan (SIOP) for access requirements and procedures.

**3.5. Unescorted Entry to Restricted Areas.** Organizational commanders identify the need and justify to the installation commander requests for NACs on contractor employees requiring unescorted entry to restricted areas. The installation commander approves the request upon recommendation by the servicing security activity. Installation commanders approve all denials or withdrawals of unescorted entry for contractor employees. Decisions to deny or withdraw must be fully supported by the facts. Individuals must be informed of allegations against them (unless precluded by security considerations) and given the opportunity to appear before the commander. This allows the individual an opportunity to refute reported allegations or to offer mitigating information. Forward appeals of denials or withdrawals to the MAJ-COM commander or designee. Refer to [Attachment 4](#) for minimum investigation requirements for entry to restricted areas.

**3.6. Periodic Reinvestigations.** Use the same procedures as for an initial investigation. Follow the preparation instructions provided with the forms. Refer to [Table A3.3](#) for periodic reinvestigation requirements.

3.6.1. Request a periodic reinvestigation when a background investigation (BI), special background investigation (SBI), SSBI, or previous periodic reinvestigation is 54 months old. This ensures the periodic reinvestigation is completed on or near the 5-year anniversary date of the original investigation.

**3.6.1. (AFMC)** Within AFMC, Periodic Reinvestigations are overdue when previous investigations are 55 months old.

3.6.2. If a periodic reinvestigation is not submitted on time submit an initial investigation. See [Attachment 5](#).

**3.6.2. (AFMC)** If the PR is not submitted by the 60th month following the previous SSBI, submit an initial investigation.

**3.6.3. Secret periodic reinvestigations.** A periodic reinvestigation is required every 15 years for individuals with Secret access. Request a NAC for this purpose.

**3.6.3. (Added-AFMC)** A PR is required every five years for approved Secret special access program and assignment to a NATO Secret position.

**3.7. (Added-AFMC) Requirements for Individuals in Child Care Services.** Commanders or staff agency chiefs identify the need for NACs for background checks for child care providers. Refer to DoD 1402.5, Jan 19, 1993, Enclosure 6, for requirements.

**3.7.1. (Added-AFMC)** Employment suitability determinations are the responsibility of the requesting commander/staff agency chief or designee based on review of the background checks.

## Chapter 4

### RECIPROCAL ACCEPTANCE OF PRIOR INVESTIGATIONS AND PERSONNEL SECURITY DETERMINATIONS (SEE DOD REGULATION 5200.2-R, CHAPTER IV)

**4.1. Prior Federal Civilian Investigations.** Investigations previously conducted on civilian employees are suitable and accepted for granting immediate access to classified information. The authorized requester ensures the following:

- The individual is employed in a sensitive position with the Air Force and that no reason exists why the investigation or the clearance should not be accepted.
- CPF verifies prior federal employment was continuous with no single break longer than 24 months.
- A tracer is submitted by the CPF for a clearance certification from the 497th IG/INS.
- The clearance certification is documented with a dated memorandum for record (MFR), a copy is forwarded to the subject's commander or staff agency chief; and all copies of the MFR are destroyed when the ASCAS shows the clearance eligibility.
- Interim access is authorized when actions are completed.

**4.1. (AFMC)** Investigations while a military member or DoD contractor of adequate scope are also acceptable for granting immediate access to classified information, entry to restricted areas, or for the NAC portion of background checks for individuals in child care service positions.

**4.1.1. (Added-AFMC)** Contact the employee's former supervisor and/or security manager (or similar official) to determine if the individual had a security clearance and the level of access he or she had. If possible, obtain written data relating to the security clearance/access such as the date and type of investigation and how long the employee worked at the activity. Also determine if there was any adverse information in the individual's employment records.

## Chapter 5

### REQUESTING PERSONNEL SECURITY INVESTIGATIONS (SEE DOD REGULATION 5200.2-R, CHAPTER V)

**5.1. Authorized Requesters.** MAJCOM, field operating agency (FOA), or direct reporting unit (DRU) staffs designate authorized requesters to initiate PSIs to DIS within their organization. Submit requests for authorized requester codes through channels to HQ AFSPA/SPI. HQ AFSPA/SPI maintains the master list and provides a copy to the 497th IG/INS. The authorized requester:

- Maintains a suspense copy of PSIs and all other paperwork until the investigation is completed.
- Forwards the suspense copy of the PSI to the gaining base authorized requester when a permanent change of station (PCS) occurs.
- Forwards the complete PSI package to the 497th IG/INS when the DIS cannot investigate significant periods of a person's life due to the political situation of one or more countries in which the individual resided, or for other reasons.

**5.1. (AFMC)** SSAs submit requests for designation as authorized requesters to HQ AFMC/SPP. Include reason for request, complete organizational title, symbol, organizational PAS code, mailing address, point of contact, and commercial and DSN telephone numbers.

5.1.1. DIS is the sole DoD repository of personnel security investigative files. To obtain a personal copy, forward a notarized request that includes: name, SSN, date of birth, and place of birth to: DIS/D0020, Box 1211, Baltimore MD 21203-1211. A commissioned officer can sign for military personnel in lieu of a notary public. Identify the SSN and rank of the signer. Also refer to AFI 37-132, *Air Force Privacy Act Program*.

5.1.2. When necessary for suitability determination the 497th IG/INS provides DIS investigative reports to commanders and supervisors through the servicing security activity.

5.1.3. Personnel requiring an SSBI or periodic reinvestigation scheduled for a PCS move to an overseas location, including Shemya AFB, AK, fall within the Catch'Em in continental United States (CONUS) (CEIC) program.

5.1.4. Individuals completing DD Forms 398 and 398-2 must specify any circumstances that would make them unavailable for a subject interview within 30 to 180 calendar days of the date the form is mailed. Detailed information regarding the period in which the individual will be unavailable such as date, location, and duration should be provided in the remarks section of the appropriate form.

**5.2. Local Files Check (LFC).** Use AF Form 2583, **Request for Personnel Security Action**, to document an LFC. See AFH 31-502, for instructions on filling out AF Form 2583.

5.2.1. Headquarters Air Education and Training Command/Recruiting Service (HQ AETC/RS), 550 D Street West, Suite 1, Randolph AFB TX 78150-4527, or their authorized requesters do not have to complete AF Form 2583 when personnel records are unavailable.

5.2.2. AF Form 2583 is not needed for civilian applicants for federal employment when local files are unavailable.

**5.2.2. (AFMC)** AF Forms 2583 are not needed for applicants for NAF employment, contractors, child care providers, etc. who are the subjects of investigations for trustworthiness or suitability determinations when the applicants have no local files to check.

5.2.3. Record briefings for access to special access program information on AF Form 2583 when the governing program directive does not prescribe other procedures.

5.2.4. Route AF Form 2583 for an IMA through the IMA's unit of assignment, or wherever attached, to the Headquarters Air Reserve Personnel Center/DSMR (HQ ARPC/DSMR), 6760 East Irvington Place #4600, Denver CO 80280-4600; and HQ ARPC/SG, 6760 East Irvington Place #7000, Denver CO 80280-7000.

**5.2.5. (Added-AFMC)** Security managers may sign AF Forms 2583, Section III, Item 14, for routine requests for personnel security investigations.

## Chapter 6

### ADJUDICATION (SEE DOD REGULATION 5200.2-R, CHAPTER VI)

**6.1. Central Adjudication Authority.** The 497th IG/INS is the Air Force central adjudication authority.

6.1.1. Adjudicators will apply the policy and criteria set forth in DoD Regulation 5200.2-R, paragraph 2-200, 6-102 and Appendix I.

6.1.2. Unfavorable adjudication results in the denial or revocation of clearance eligibility. The 497th IG/INS unfavorable adjudicative decisions are reflected on unit ASCAS rosters as clearance eligibility is denied or revoked.

## Chapter 7

### ISSUING CLEARANCE AND GRANTING ACCESS (SEE DOD 5200.2-R, CHAPTER VII)

#### **7.1. Security Clearance Eligibility Determination.** This authority is delegated to the 497th IG/INS.

7.1.1. Security clearance eligibility is granted to the level required based on the type of investigation conducted and the citizenship of the subject.

**7.2. ASCAS.** The 497th IG/INS establishes the operational procedures for the ASCAS. Also see AFH 31-502. The ASCAS roster documents the clearance eligibility recorded in the personnel data system (PDS) for military and in the Defense Civilian Personnel Data System (DCPDS) for civilians. The PSI and clearance data within these systems are maintained in the ASCAS file. For some categories of personnel (i.e., military and civilian applicants or contractors) the clearance eligibility is documented on other forms. When the PSI request indicates an individual's record is not in the PDS or DCPDS, 497 IG/INS sends an Air Force Form 2584, **Record of Personnel Security Investigation and Clearance**, to the servicing security activity.

7.2.1. Clearance data elements in the ASCAS roster include the full date and type of investigation and the full date and status of clearance eligibility. The information is invalid when any of these four data elements are incomplete.

7.2.2. The base level personnel system manager or the consolidated CPF prints and distributes the ASCAS roster for organizations not equipped with Personnel Concept-III terminals.

#### **7.3. Interim Security Clearance.** Interim security clearances are granted as follows:

7.3.1. The commander or staff agency chief may grant an interim Secret clearance to military personnel when the ASCAS roster reflects any open PSI on the member.

7.3.2. OPM does the initial investigation for suitability on civilians. That investigation may also be used to grant Secret security clearance eligibility. Authorized requesters submit requests for interim Secret clearances to the 497th IG/INS. Include a copy of the letter signed by the commander or staff agency chief that waives the preappointment investigative requirements.

7.3.3. The 497th IG/INS grants an interim Top Secret clearance if the subject has a favorable ENT-NAC, NAC, or NACI and the SSBI has been initiated. If the subject does not have a prior favorable ENTNAC, NAC, or NACI, then the NAC portion of the SSBI must be completed prior to the interim Top Secret being granted.

7.3.4. In an emergency, 497th IG/INS may grant interim Secret clearance approval by telephone. Use an MFR to document approval until the ASCAS shows a final security clearance eligibility.

**7.4. Position Coding on Unit Manpower Document (UMD).** Commanders or staff agency chiefs manage and control security clearances within their activity. The level of access required for day-to-day job performance by the occupants of each military position and appropriated fund civilian position is coded on the UMD and the DCPDS. The level of security clearance is based upon the access requirements documented on the UMD, DCPDS, and level of clearance eligibility determined by the 497th IG/INS. Refer to [Attachment 5](#) for security access requirement codes.



7.4.1. If the duties of an individual require a change to the UMD, the unit commander or staff agency chief submits an authorization change request to the local management engineering team through the servicing security activity.

**7.4.2. (Added-AFMC)** Base security access requirements codes on day-to-day access requirements for the position. Base day-to-day access on the highest level of access required at least two to three times per month.

**7.5. Adverse Adjudicative Action on Civilians.** The 497th IG/INS is prohibited from taking adverse adjudicative action on an OPM federal civilian employee occupying a nonsensitive position.

7.5.1. A NACI on a person in a nonsensitive position containing potentially disqualifying information is forwarded to the servicing CPF for an employment suitability determination.

7.5.2. If the individual is deemed suitable for employment and there is no other unfavorable information or only minor unfavorable information in the file, CPF files the certificate of investigation in the subject's official personnel folder. In these cases, the ASCAS roster is annotated as Secret security clearance eligibility.

7.5.3. The ASCAS roster is coded "Restricted" for individuals whose case files contain serious unfavorable information which could have resulted in denial of security clearance eligibility. This reflects a NACI has been completed but contains unresolved allegations.

7.5.4. In all cases, the case file, CPF determination, and the certificate of investigation for those employees not retained are returned to the 497th IG/INS.

7.5.5. The commander, staff agency chief, or supervisor may consider a federal employee occupying a nonsensitive position with a restricted clearance eligibility for a sensitive position. If selected, the commander or staff agency chief or, in conjunction with the servicing CPF, processes the request for security clearance eligibility prior to assignment to the sensitive position.

**7.6. Tracer Time Criteria.** HQ USAF/SPI periodically publishes time frame criteria for the submission of ASCAS message (tracer).

**7.7. Obtaining Information from the 497th IG/INS.** MAJCOM, FOA, and DRU authorized requesters provide the 497th IG/INS with a consolidated list of individuals authorized to call and obtain information concerning personnel security investigations.

**7.7. (AFMC) Authorized Requesters.** Send changes, deletions, or additions to their list of authorized callers to HQ AFMC/SPP as required. Limit telephone calls to emergency situations Use tracer transactions for routine situations.

7.7.1. In situations where no clearance eligibility data are available at the unit and the 497th IG/INS has valid clearance eligibility information on file, a record of the call may be used as evidence of valid clearance data pending update of the ASCAS. The authorized requester prepares an MFR showing (1) name, grade, and organization of the individual calling the 497th IG/INS; (2) name, grade, organization, and SSN of the subject; (3) name of person at the 497th IG/INS providing clearance data, and (4) type and date of investigation and, if granted, level and date of clearance eligibility.

7.7.2. The authorized requester forwards a copy of the MFR to the individual's commander or staff agency chief.

7.7.3. The authorized requester and the unit keep the MFR until the ASCAS roster shows a final security clearance eligibility.

## Chapter 8

### UNFAVORABLE ADMINISTRATIVE ACTIONS (SEE DOD REGULATION 5200.2-R, CHAPTER VIII)

**8.1. SSF.** An SSF is a documented history of information that tends to show that granting security clearance eligibility to an individual or continuing an individual's existing security clearance eligibility may not be consistent with the requirements or interests of national security. It also serves as a repository for information which must be resolved by further investigative, administrative, or adjudicative actions. The SSF may be established as the direct result of a PSI conducted by DIS, OPM or similar agencies, or it may be based upon unfavorable information concerning an individual's activities, conduct or behavior, or an individual's failure to comply with security program requirements. Commanders, staff agency chiefs, and the 497th IG/INS may establish SSFs when:

- An individual's loyalty, reliability, or trustworthiness comes into question. Such questions commonly arise when information or allegations develop concerning an individual's activities, conduct or behavior, or failure to comply with security program requirements in relations to the security standards criteria as outlined in DoD 5200.2-R, Chapter II, Section 2. When such questions arise, an SSF must be established regardless of whether an individual currently has access to classified information or unescorted entry authority.
- An individual refuses to sign a required Standard Form 312 or other nondisclosure agreement.
- The 497th IG/INS receives unfavorable information from other government agencies, court-martial orders, information summary reports provided by DIS, AFOSI reports of investigation, and notification of special access denial from various access granting authorities.

8.1.1. Unit commanders or staff agency chiefs establish SSFs on individuals within their area of jurisdiction including (1) personnel of tenant, geographically separated units, and (2) TDY personnel when unfavorable information develops locally, which directly impacts an individual's clearance eligibility.

8.1.2. As a general rule, SSFs are established upon receipt of any information as outlined above and or concerning actual or alleged:

- Repeated statements of pro-Communist, pro-terrorist, or anti-government nature.
- Financial irresponsibility or unexplained affluence.
- Arrest by civil or military authorities if the criminal conduct reflects on the individual's honesty, loyalty, reliability or trustworthiness. For example, incidents of theft; embezzlement; bad checks, sexual misconduct, sexual misconduct with a minor; child or spouse abuse; illegal activity such as sale, transfer or distribution of marijuana, narcotics, or controlled substances; assault; use of firearms, explosives, dangerous weapons, or the unauthorized sale of weapons; misuse or improper disposition of government property; and illegal drug involvement.
- Mental or emotional illness if a psychiatrist or clinical psychologist states the illness may cause a significant defect in the person's judgment or reliability, or if a previous condition may occur.
- Alcohol abuse that results in impairment of an individual's ability to perform assigned duties or to adequately safeguard classified information.
- Falsification or deception on enlistment application and related official documents, personnel history forms or employment applications.

- Refusal or intentional failure by individuals who require an investigation or periodic reinvestigation to provide the PSQ documentation, release statements for review of medical, financial, or employment records; or refusal to be interviewed in connection with a PSI regardless of whether the information is requested by the investigative agency or the 497th IG/INS.
- Conscientious objector status, if there is any indication of disloyalty.
- Two security violations within a 12-month period.
- Information leading to permanent decertification from PRP for other than physical reasons.

**8.1.3. (Added-AFMC)** Notify the servicing SSO or responsible program office when an SSF is established on an individual with sensitive compartmented information (SCI) or special access program access.

**8.2. SSF Establishment.** Do not establish an SSF for:

- Any reasons other than those listed above unless the circumstances clearly indicate that clearance eligibility may be affected.
- A one-time alcohol related incident; or, a second alcohol related incident within a year simply because it results in decertification from PRP unless there is evidence of an ongoing alcohol problem. Commanders must assess all factors involved and exercise discretion in establishing SSFs in such cases.
- A permanent decertification from PRP related to medical reasons of a physical nature.
- A disciplinary problem, such as failure to repair; poor duty performance; failure to maintain weight standards; and any single, isolated incident of poor judgment based on immaturity or extenuating circumstances which does not impact on the individual's ability to safeguard classified information.
- A federal civilian employee occupying a nonsensitive position.
- Incidents where an SSF has been established by the 497th IG/INS based on potentially unfavorable information.

**8.3. Access Suspension.** Commanders must suspend an individual's access to classified information and unescorted entry to restricted areas when an SSF is established.

**8.3. (AFMC) SSF.** IAW HQ USAF/SPI message, 061500Z December 1994, commanders or staff agency chiefs who establish SSFs locally may decide whether or not to suspend the SSF subject's access based on a thorough review of the facts and an assessment of the risk to national security. The 497th IG/INS determines whether or not to suspend security clearance eligibility on the SSFs they establish based on security guidelines.

**8.3.1. (Added-AFMC)** Commanders/staff agency chiefs record suspension of an individual's access or unescorted entry to restricted areas on an AF Form 2587 and send to the SSA for inclusion in the SSF file.

**8.4. SSF Processing.** Commanders, supervisors, or security personnel refer allegations indicating possible criminal conduct, including those arising during a PSI, to AFOSI or to the appropriate criminal investigative agency. If the unit commander or staff agency chief has sufficient reason to doubt the validity of unfavorable information or allegations, the commander or staff agency chief may delay establishment and

processing of the SSF for 45 calendar days. The commander or staff agency chief must weigh the seriousness of the incident; whether it appears to be an isolated incident or was intentional; the individual's motivation for the act; whether it was out of character for the individual; formal reports that might be or become available, or whether undesirable conduct or behavior is likely to continue. If, after all the facts have been considered and the unit commander or staff agency chief and the chief of the servicing security activity disagree on the establishment and processing of an SSF, the installation commander will make a final determination.

8.4.1. Process the SSF per Air Force Supplement to the Federal Personnel Manual when it pertains to a civilian employee in or being considered for noncritical sensitive, critical sensitive, or special sensitive positions.

8.4.2. Note that the unit commander or staff agency chief provides a recommendation on whether to grant, deny, or revoke the individual's security clearance eligibility. The documented facts must fully support the recommendation.

8.4.3. Forward the completed SSF to the 497th IG/INS for a final security determination. The 497th IG/INS returns SSFs with incomplete information to the affected installation without action.

8.4.4. Note that installation commanders or their designees may contact the 497th IG/INS via priority message to request immediate favorable closure of an SSF.

**8.5. SSF Evaluations.** Request evaluation of the SSF from the following activities when the issue involved indicates coordination is appropriate:

- Director of Personnel reviews the individuals Unfavorable Information File (UIF), performance report summaries, and personnel actions required as a result of the SSF behavior.
- Security Police evaluates for criminal activities or other pertinent data regarding the subject's police record, involvement in previous compromises or security incidents.
- Judge Advocate determines if any court proceedings or nonjudicial punishment is justified by nature of individual's actions.
- Surgeon General conducts an evaluation of any physical, mental, or emotional state which may affect the subject's ability to protect classified information.
- Social Actions reviews for any involvement, previous or present, with alcohol or dangerous drugs which may indicate a security weakness.

**8.6. SSF Maintenance.** The chief of the servicing security activity maintains the SSF for the commander. When a change of assignment occurs, forward the SSF to the gaining servicing security activity by the most expeditious means available. Forward an information copy of the transmittal letter or message to 497 IG/INS.

**8.7. The 497th IG/INS Notification.** Notify the 497th IG/INS via message or PTI41B when:

- Unfavorable information results in a discharge, retirement, or separation. Forward a copy of the discharge or separation orders or a copy of the Standard Form 50B3PT, **Notification of Personnel Action**, plus any additional unfavorable information used in these actions to the 497th IG/INS.
- An adverse discharge is overturned and the individual returns to active duty.

- Anticipated completion of an SSF will require more than 12 months.
- An SSF has remained open for 180 days and every 180 days thereafter. Provide a brief summary of actions taken or contemplated.
- Any significant information is developed on SSFs established by the 497th IG/INS. The 497th IG/INS provides the base servicing security activity with any subsequent information developed.

**8.8. SSF Contents.** Retain only information and documentation relating to the processing of the SSF in the file. The SSF may contain, but is not limited to:

- Copy of the PSI conducted by DIS, OPM, or similar agencies.
- All copies of AFOSI reports of investigation, civil police or child advocacy reports, etc., pertaining to the issue.
- A copy of all pertinent Security Police Incident/Complaint reports.
- A summary of facts to substantiate any unfavorable information not covered by one of the investigative sources above. Include a complete reference to the source of the information.
- A summary of UIF entries.
- A copy of all pertinent medical or mental health evaluations which indicate significant
- of the individual's judgment or reliability. The report of evaluation must contain a diagnosis, its affect on the individual's judgment or reliability, prognosis and the likelihood of recurrence. The appropriate medical authority must state whether release of the information will harm the individual's physical or mental health.
- All pertinent information concerning actions taken by Social Actions, such as when the individual was enrolled in the program; why they enrolled; and how the program personnel classified the individual.
- The date of successful completion or the date termed a rehabilitative failure. Provide interim progress reports when applicable. If the diagnosis is alcoholism, the SSF must contain a copy of the Intervention Committee's prognosis and recommendations regarding clearance eligibility.
- All copies of administrative or disciplinary actions to include records of counseling, letter of reprimand, Article 15 and court-martial orders, copies of letters of indebtedness, and bad checks.
- All correspondence or forms relating to the withdrawal of access, including special access programs, unescorted entry, or temporary or permanent decertification from PRP.
- All comeback copies of the PTI41B transactions relating to the establishment of SSF and status reports.
- All copies of available orders or other written notifications to the 497th IG/INS advising them of the status and location of persons placed in retraining, on appellate leave, or rehabilitation or confinement status.
- All copies of correspondence from staff agencies relating to SSF reviews once all local actions have been taken.

**8.8.1. (Added-AFMC)** Employment suitability determinations are required as part of SSFs for civilian employees. Commanders or staff agency chiefs are responsible for these determinations with the assistance of the CPF.

**8.8.2. (Added-AFMC)** If the commander or staff agency chief decides not to suspend the access of an SSF subject, include a statement to that effect in the letter sent to the SSA establishing the SSF.

**8.9. Investigations Required for SSF Resolution.** The chief of the servicing security activity requests an AFOSI investigation when (1) the unfavorable information involves alleged activities that fall under the security standards criteria in DoD Regulation 5200.2-R, Chapter II, Section 2, or (2) the allegations indicate possible criminal conduct, including allegations arising during the course of a PSI.

8.9.1. Commanders overseas must coordinate requests for DIS investigations involving allegations of subversive affiliations, derogatory suitability information, and hostage situations with the local AFOSI.

8.9.2. DIS personnel investigate personnel security issues based on a request from the 497th IG/INS for a special investigative inquiry (SII). The 497th IG/INS determines whether an SII is necessary and verifies full coverage of all areas requiring investigation. Send a DD Form 398 and two FD 258s, **FBI Fingerprint Card** to the 497th IG/INS when requesting an SII. If an SSF has been established pending resolution of allegations through this investigation, state it in the request. Unfavorable suitability information must be resolved to determine whether an individual remains eligible for access to classified information.

**8.10. Administrative Due Process Procedures.** The 497th IG/INS will only make a final personnel security determination resulting in an unfavorable administrative action on an Air Force military member, civilian employee, consultant, or any other Air Force affiliated person when the individual concerned is granted procedural benefits described in this section. A final unfavorable administrative determination will only be made after the individual concerned is given:

- A written notice of intent to revoke or deny clearance eligibility, citing the reasons for the action. The notice will be as comprehensive and detailed as the protection of sources afforded confidentially under the provisions of the Privacy Act of 1974 (U.S.C. 552a) and national security permit. Prior to issuing a statement of reasons to a civilian employee for suspension or removal action, the 497th IG/INS must comply with the provisions of the Federal Personnel Manual, Chapter 732.
- An opportunity to acknowledge receipt and understanding of the intended action and to indicate by means of endorsement whether he or she intends to submit any statements or documents to refute, correct, or to mitigate the intended actions. The 497th IG/INS must receive rebuttal documentation within 60 calendar days from the date of the written notice of intent letter. When this action involves a civilian employee, the case file will be processed according to the Air Force Supplement to the Federal Personnel
- Manual prior to the notification of intent.

**8.10. (AFMC) Rebuttals.** Submit rebuttals through SSAs.

**8.11. Notice of Intent.** Upon receipt of the individual's response or rebuttal to the notice of intent, the 497th IG/INS personnel:

- Review the complete case file, including any statements or documents provided by the individual on their behalf and determine whether clearance eligibility should be reinstated, revoked, or denied. The 497th IG/INS personnel will update the ASCAS accordingly.

- Provide the individual written notification of the revocation or denial action. The letter of notification states the final reasons for the action and advises the individual the decision may be appealed to SAF/AA.
- Upon receipt of an appeal, may close the case favorably in the event the individual has provided clear and convincing evidence to mitigate the information as stated in the letter of denial or revocation or recommend to SAF/AA that a security review panel (SRP) be convened. When the appeal is presented to the SRP, the SSF, the individual's appeal, and the written recommendations of the SRP are forwarded to SAF/AA for final clearance eligibility determination.
- Notify the individual and the commander of the decision by SAF/AA in writing. The decision by SAF/AA is final. The individual has no further appeal rights through Air Force channels.

8.11.1. The individual may submit an appeal in writing to the SAF/AA through the 497th IG/INS. All appeals must be submitted within 30 calendar days from the date of the denial or revocation.

**8.11.1. (AFMC)** Submit appeals through SSAs.

**8.12. Reinstatement.** Send requests for reinstatement of security clearance eligibility to the 497th IG/INS. Requests are not considered for at least 24 months from the effective date of clearance revocation or denial. Include a recommendation from the individual's commander specifying how the individual's behavior has changed. Additionally, the individual's commander must provide appropriate documentation to support the request. Required documentation would depend upon the reasons for the initial denial or revocation, but could include a current mental health evaluation if mental or emotional issues were involved; social actions evaluation if drug or alcohol abuse were involved; a current financial statement if financial problems were involved; etc.

**8.12. (AFMC) Reinstatement.** Send all requests for reinstatement through the SSA.

**8.12.1. Civilian Employees.** Requests for reinstatement involving OPM federal civilian employees must be processed per the Air Force supplement to the Federal Personnel Manual.

**8.13. Special Access Programs.** AFI 16-701, *The US Air Force Special Access Programs*, outlines administrative due process procedures for special access programs.

**8.14. Obtaining Permission To Proceed in Courts-Martial, Administrative Discharges, and Civilian Removal Actions.** Unit commanders or staff agency chiefs contemplating disciplinary or administrative action against military members or civilian employees that could lead to a discharge or removal must first obtain permission to proceed when the member or civilian employee holds a special access. Do not take action on personnel who now hold or have held access within the periods specified below, to single integrated operation plan-extremely sensitive information (SIOP-ESI), SCI, research and development (R&D) special access program, AFOSI special access program, or other special access program information until the appropriate special access program office approves. (Exceptions are for investigative and preliminary administrative procedures until the proposed action has been reviewed and approved by the functional activities having overall ownership for the affected information.) Commanders send a written request to the appropriate special access program functional office for permission to proceed with further processing as outlined below. Apply security classification according to message contents. Also see AFH 31-502. The request must include:



- The individual's name, SSN, age, marital status, duty assignment, unit assignment, date of separation, and length of service of the member.
- The name of the official who authorized SCI or other special access. Include inclusive dates which the person was given access and the units involved.
- The specific reason for the proposed "for cause" action. Include the maximum sentence and type of separation, discharge, or dismissal allowable.
- The type of separation, discharge, or dismissal contemplated in administrative cases, and the commander's recommended type of discharge certificate to be issued.
- The type of court-martial cases, to include a description of offenses, with an outline of proposed charges and specifications; data as to any restraint; and any unusual circumstances which may affect the trial.
- Provide comparable data for civilian employees.
- Any other information bearing on the proposed action.

8.14.1. For SCI access contact the 497th IG/INS for persons having current SCI access, and persons debriefed within the past 3 years. Commanders contact the servicing special security office, MAJCOM special security office, or the 497th IG/INS to determine if the individual had access.

8.14.2. For SIOP-ESI access contact HQ USAF/XOFS for persons having current SIOP-ESI and other HQ USAF/XO special access programs, and persons debriefed within the past 2 years.

8.14.3. For R&D access contact SAF/AQL for persons having current access to R&D special access programs, and persons debriefed within the past year.

8.14.4. Contact HQ AFOSI/IVO for persons who have had a duty assignment with AFOSI and have held an AFOSI special access. The personnel records will reflect AFOSI employment or assignment. Commanders contact the local AFOSI detachment commander or HQ AFOSI/IVO to determine if the person held an AFOSI special access.

8.14.5. For Multiple Access, commanders or staff agency chiefs must obtain separate authorizations from each appropriate action agency listed above prior to proceeding.

8.14.6. Processing goals at all command levels must comply with the speedy trial requirement and the potentially more restrictive time requirements in civilian removal actions. Normally, the processing time period should be concluded within 15 days; measured from the date of initiation request, to the date of approval; or denial by the OPR. Voluntary separations of airmen, officers, and civilian resignations will not be handled under these procedures unless they are in lieu of adverse action.

8.14.7. If a commander or staff agency chief contemplates a general or special court-martial, processing of the case may proceed through referral of charges and completion of the investigation required by Article 32, Uniform Code of Military Justice (UCMJ), together with collateral actions required under Article 32. Under no circumstances may the charges be referred to trial until the appropriate action office grants authority to proceed. Actions required by this paragraph do not apply to summary court-martials.

8.14.8. If a commander or staff agency chief contemplates discharging an enlisted member, processing of a "notification" case may proceed through giving the member notice of the proposed discharge, obtaining the member's response, scheduling necessary appointments, and conducting those appoint-

ments. Under no circumstances may the notification of discharge be "approved" by the separation authority until the appropriate action office grants authority to proceed.

8.14.9. If a commander or staff agency chief contemplates discharging an officer, the processing may proceed through initiation of the case, obtaining the member's response, scheduling necessary appointments, and conducting those appointments. Under no circumstances may the show cause authority take action to recommend officers be discharged or to require officers to show cause for retention until the appropriate action office grants authority to proceed.

8.14.10. If a supervisor contemplates removal action against a civilian employee who holds special access, the supervisor must first coordinate with the servicing CPF. The commander or staff agency chief of the unit to which the civilian is assigned will then forward a message to the appropriate Air Force OPR. Under no circumstances may a "notice of proposed removal" be issued until the Air Force OPR grants authority to proceed.

8.14.11. Notify HQ USAF/JAG when a court-martial, an administrative discharge, or a civilian removal action is contemplated. Provide only unclassified details and identify the appropriate special access program point of contact.

8.14.12. Periodic reporting by the unit commanders or staff agency chief should advise the parent MAJCOM and decision authority of any changes to the proposed action every 90 days until the action has been completed. If the nature of the case changes significantly (for example, from discharge to court-martial or from voluntary to involuntary discharge), the unit commander should notify the decision authority and seek further instruction. Unit commanders should transmit a final report when the adverse action has been completed. In the final report, include date and place of discharge. If an SSF has been established on the individual, the decision authority will notify the 497th IG/INS of the discharge, and request closure of the case.

8.14.13. Decision authorities submit an annual report of completed cases showing number of cases considered, number of approvals/disapprovals, and number pending as of the end of the prior fiscal year to SAF/AAZ, 1720 Air Force Pentagon, Washington DC 20330-1720, not later than 1 November each year.

## Chapter 9

### CONTINUOUS RESPONSIBILITIES FOR SECURITY (SEE DOD REGULATION 5200.2-R, CHAPTER IX)

**9.1. Evaluating Continued Security Clearance Eligibility.** Indoctrination training must advise supervisory personnel of their responsibility for continuing observation of subordinates for conduct or conditions listed in the criteria for application of security standards. Supervisory personnel must also understand the necessity for immediately reporting to the commander or staff agency chief when such conditions come to their attention.

**9.1. (AFMC) Evaluating Continued Security Clearance Eligibility.** Include training on each individual's responsibility for evaluating continued security clearance eligibility in recurring security training.

**9.2. Security Education.** AFI 31-401 outlines procedures for conducting indoctrination and refresher briefings.

**9.3. Foreign Travel Briefing.** Individuals possessing a security clearance will report contacts with individuals of any nationality to their security manager or supervisor when:

- Illegal or unauthorized access is sought to classified or otherwise sensitive information.
- Individuals are concerned that they may be the target of exploitation by a foreign entity.

9.3.1. Refer to AFMAN 14-304 and the local senior intelligence officer for duty and travel restrictions for personnel who have or had SCI access.

9.3.2. Refer foreign travel by AFOSI personnel to the local AFOSI commander.

9.3.3. For personnel with special access program access, contact the special access program manager or SAF/AAZ for duty and travel restrictions. Also see AFI 16-701.

STEPHEN C. MANNELL, Brig General, USAF  
Chief of Security Police

**Attachment 1****GLOSSARY OF REFERENCES, ABBREVIATIONS, ACRONYMS, AND TERMS*****Section A--References***

AFMAN 14-304, *The Security, Use, and Dissemination of Sensitive Compartmented Information (SCI)*  
AFI 16-701, *The US Air Force Special Access Programs* (formerly AFR 205-7)  
AFI 31-401, *Information Security Program Management* (formerly AFR 205-1)  
AFJI 31-404, *Safeguarding NATO Classified* (formerly AFR 205-43)  
AFPD 31-5, *Investigations, Clearances, and Program Requirements*  
AFH 31-502, *United States Air Force Personnel Security Program*  
AFI 36-2005, *Appointment in Commissioned Grades and Designation and Assignment in Professional Categories*  
*Reserve of the Air Force and United States Air Force (Temporary)* (formerly AFR 205-43)  
AFI 36-2104, *Nuclear Weapons Personnel Reliability Program* (formerly AFR 35-99)  
AFI 37-132, *Air Force Privacy Act Program* (formerly AFR 12-35)  
DoD Regulation 5200.2-R, *DoD Personnel Security Program*

***Section B--Abbreviations and Acronyms***

**AF**—Air Force  
**AFH**—Air Force Handbook  
**AFI**—Air Force Instruction  
**AFOSI**—Air Force Office of Special Investigations  
**AFPD**—Air Force Policy Directive  
**AFR**—Air Force Regulation  
**ASCAS**—Automated Security Clearance Approval System  
**BI**—Background Investigation  
**CEIC**—Catch'Em In CONUS  
**CONUS**—Continental United States  
**CPF**—Civilian Personnel Flight  
**DCPDS**—Defense Civilian Personnel Data System  
**DIS**—Defense Investigative Service  
**DoD**—Department of Defense  
**DRU**—Direct Reporting Unit  
**ENTNAC**—Entrance National Agency Check

**ESI**—Extremely Sensitive Information  
**FBI**—Federal Bureau of Investigations  
**FOA**—Field Operating Agency  
**HQ AFSPA**—Headquarters Air Force Security Police Agency  
**HQ USAF**—Headquarters United States Air Force  
**IMA**—Individual Mobilization Augmentee  
**LAA**—Limited Access Authorization  
**LFC**—Local Files Check  
**MAJCOM**—Major Command  
**MFR**—Memorandum for Record  
**NAC**—National Agency Check  
**NACI**—National Agency Check with Written Inquiries  
**NAQ**—National Agency Questionnaire  
**NATO**—North Atlantic Treaty Organization  
**OPM**—Office of Personnel Management  
**OPR**—Office of Primary Responsibility  
**PCS**—Permanent Change of Station  
**PDS**—Personnel Data System  
**PR**—Periodic Reinvestigation  
**PRP**—Personnel Reliability Program  
**PTI41A**—ASCAS Transaction  
**PTI41B**—ASCAS Message  
**PSI**—Personnel Security Investigation  
**PSQ**—Personnel Security Questionnaire  
**R&D**—Research & Development  
**SAC**—Single Agency Check  
**SAF**—Secretary of the Air Force  
**SBI**—Special Background Investigation  
**SCI**—Sensitive Compartmented Information  
**SII**—Special Investigative Inquiry  
**SIOP**—Single Integrated Operational Plan  
**SIOP-ESI**—SIOP-Extremely Sensitive Information

**SRP**—Security Review Panel

**SSN**—Social Security Number

**SSBI**—Single Scope Background Investigation

**SSF**—Special Security File

**TDY**—Temporary Duty

**UCMJ**—Uniform Code of Military Justice

**UIF**—Unfavorable Information File

**UMD**—Unit Manpower Document

**U.S.C.**—United States Code

**497th IG/INS**—497th Intelligence Group/Directorate of Security and Communication Management

### *Section C--Terms*

**ASCAS Message**—A message (PTI41B), used to transfer information from the base to the 497th IG/INS. The 497th IG/INS will answer the ASCAS message and respond via ASCAS transaction (PTI41A).

**ASCAS Transaction**—An update from the 497th IG/INS which updates the base level files (referred to as a PTI41A). Only the 497th IG/INS may initiate a PTI41A transaction.

**Authorized Requester**—Organizations authorized to request PSIs from the DIS or OPM. The servicing security police activity usually requests PSIs from DIS. The CPF requests NACIs from OPM.

**Authorized Requester Code Listing**—A listing of organizations specifically designated by MAJCOM, FOA, or DRU to request PSIs.

**Automated Security Clearance Approval System (ASCAS)**—The ASCAS is the Air Force system for transmitting and recording security clearance eligibility and investigation status through the PDS.

**Break In Service**—Any break in active employment with a DoD agency or DoD contractor, including suspension or termination of service or temporary retirement, whether or not seniority or pay is affected. This does not include active duty military personnel attending civilian schools from which a service commitment remains. A 24-month continuous break in service requires completion of a new PSI prior to reissuance of a security clearance eligibility.

**Catch'Em In CONUS**—A DIS Program utilized to facilitate the completion of a SSBI or SSBI periodic reinvestigation (PR) on individuals who are within 90 days of departing for an overseas assignment. This program allows the DIS investigator to conduct the personal interview prior to PCS.

**Classified Information Nondisclosure Agreement, Standard Form 312**—An individual must sign a Standard Form 312 before being given access to classified information.

**Comeback Copies**—A computer print-out that is produced at the base when an ASCAS message has been input into the Base Level Personnel System for transmission via AFMPC to the 497th IG/INS.

**Continuing Evaluation**—Procedures employed to ensure an individual remains eligible for access to classified information.

**Defense Investigative Service (DIS)**—The defense agency responsible for conducting PSIs.

**Foreign National**—Any person who is neither a citizen nor national of the United States nor an immigrant alien. Also referred to as a non-United States national.

**Foreign Travel**—Any travel outside the 50 United States and its territories.

**Immediate Family**—Includes current spouse; children; natural, adopted, foster, or stepchildren; parents; natural, adopted, foster, or stepparents; and brothers and sisters, either by birth, adoption, or remarriage of either parent.

**Indoctrination Briefing**—A briefing of job related security responsibilities and requirements, intelligence collection techniques employed by foreign intelligence activities, and penalties that may be imposed for security violations.

**Local Files Check (LFC)**—A local check of the security police, medical facility, personnel files, etc., designed to uncover the existence of unfavorable information concerning a person. Provides commanders with initial information on which to base a trustworthiness determination and request a PSI.

**Personnel Reliability Program (PRP)**—A program designed to ensure the highest possible standards of individual reliability in personnel performing duties associated with nuclear weapons systems and critical components.

**Presidential Support**—Personnel assigned to duties involving regular or frequent contact with or access to the President or Presidential facilities, communication activities, or modes of transportation.

**Restricted Area**—A legally established military zone under Air Force jurisdiction into which persons may not enter without specific authorization.

**Restricted Clearance**—The security clearance eligibility of Air Force civilian personnel occupying nonsensitive positions is coded "Restricted," when they receive a NACI investigation with potentially unfavorable, unresolved allegations.

**Secret Clearance**—The individual has been determined eligible for access to information classified secret or below.

**Security Access Requirement**—A code used to manage and control security clearances within the Air Force. It identifies the level of access required for day-to-day job performance. The security access requirement code is based upon the supervisors or commanders determination of level of access required for each position and the security clearance eligibility determined by 497 IG/INS for the incumbent.

**Security Clearance Eligibility**—A determination that a person is eligible under the standards of DoD and Air Force personnel security programs for access to classified information.

**Sensitive Compartmented Information (SCI)**—Classified information concerning or derived from intelligence sources, methods, or analytical processes which must be processed exclusively within formal access control systems established by the Director of Central Intelligence.

**SCI Screening Interview**—A representative from the special security office or a security manager will conduct an interview to assist in determining the acceptability of an individual for nomination and further processing for a position requiring access to SCI. This interview is conducted prior to requesting a SSBI.

**Sensitive Position**—Any civilian position designated within the Air Force wherein the occupant could cause by virtue of the nature of the position a materially adverse effect on national security. All federal civilian positions are designated either special sensitive, critical sensitive, noncritical sensitive, or nonsensitive.

**Servicing Security Activity**—The activity designated by the commander which supports the installation population and tenant units in all areas of personnel security program implementation.

**Single Agency Check**—A check of one or more designated agencies of a NAC.

**Single Scope Background Investigation (SSBI)**—A PSI covering 10 years of a person's history. It is used to determine acceptability for a Top Secret clearance eligibility, access to specific special access programs, or access to SCI.

**Top Secret Clearance**—The individual has been determined eligible for access to Top Secret information or below.

**Unescorted Entry**—Authority for an individual to enter and move about a restricted area without escort.

**Unfavorable Information**—Information that could justify an unfavorable administrative action, or prompt an adjudicator to seek additional investigation or clarification.



## Attachment 2

## FORMS REQUIRED FOR SECURITY INVESTIGATIONS

Table A2.1. Required Security Investigation Forms.

LINE	A	B	C	D	E
	Type of Investigation	DD Form 1879	DD Form 398	DD Form 398-2	FD Form 258
1	ENTNAC			Original and 2 copies (see note 1)	DD Form 2280 (see note 2)
2	NAC for officer training school, reserve officer training candidate, commissioning, nonappropriated fund personnel, unescorted entry, etc.				1 signed original
3	NAC for Secret access, special access programs, and periodic reinvestigations			Original and 6 copies (see notes 3 and 7)	2 signed originals (see note 9)
4	SSBI including periodic reinvestigations	Original and 3 copies (see note 4)	Original and 6 copies (see notes 3 and 8). SCI requests (see note 5)	Original and 2 copies on subject's spouse, cohabitant, and appropriate family members (see note 6)	
5	Special investigative inquiry	Original and 3 copies (see note 4). Indicate the specific areas or issues requiring investigation in Item 20.	Original and 6 copies (see notes 3 and 8)		2 signed originals if FBI/ID fingerprint check desired

**NOTES:**

1. Forward original to DIS. Forward one copy to the military personnel flight or the consolidated civilian personnel office records section. Place one copy in the authorized requester's suspense file.

2. Use DD Form 2280, **Armed Forces Fingerprint Card**, to request an ENTNAC. Do not use FD Form 258.
3. Forward original and 4 copies to DIS. Forward one copy to the military personnel flight or consolidated civilian personnel office records section. Place one copy in the authorized requester's suspense file.
4. Forward original and 2 copies to DIS. One copy is for the authorized requester's suspense file.
5. Include the SCI screening interview when requesting the SSBI for SCI access.
6. Submit original on spouse, cohabitant, and all immediate family members over 18 years of age who were born outside the United States. If marriage or cohabitation occurs after completion of the SSBI, submit DD Form 398-2 under cover of a DD Form 1879 on subject of SSBI. Submit original to DIS, one copy to the military personnel flight or consolidated civilian personnel office records section, and one copy for authorized requester's suspense file.
7. Place the forms in the following order and securely staple before forwarding to DIS: Original DD Form 398-2; fingerprint cards; and copies of DD Form 398-2 (if required).
8. Place the forms in the following order and securely staple before forwarding to DIS: DD Forms 1879, SCI screening interview (if required), original DD Form 398, original DD Form 398-2 (if single agency check required), fingerprint cards, and DD Form 398 copies.
9. FD Form 258 is not required when requesting a periodic reinvestigation.

**Attachment 3--GUIDES FOR REQUESTING NATIONAL AGENCY CHECKS (NAC), SSBIS,  
AND PERIODIC REINVESTIGATION**

**Table A3.1. Requesting NACs, SSBIs, and Periodic Reinvestigations.**

R U L E	A	B	C
	If the individual is a (an)	and duties require	then a NAC is required
<b>1</b>	United States national military member	a Secret clearance	before granting final clearance
<b>2</b>	prior military member reentering the Air Force after a break in military service exceeding 24 months	retention in the Air Force to include Air Reserve forces	to be initiated no later than 3 workdays after reentry
<b>3</b>	applicant for appointment as a commissioned officer (see note 4)	commissioning as an officer, includes Air Reserve forces	before appointment (after appointment for health professionals, chaplains, and attorneys) (see note 8)
<b>4</b>	Air Force academy cadet, military academy cadet, or naval academy midshipman	enrollment	to be initiated 90 calendar days after entry
<b>5</b>	reserve officer training candidate or midshipman	entry to advanced course of college scholarship program (see note 9)	to be initiated 90 calendar days after entry
<b>6</b>	nominee for military education and orientation program	education and orientation of military personnel	before performing duties (process limited access authorization for non-United States citizens) (foreign educators are employed in noncritical sensitive positions)
<b>7</b>	United States military member, DoD and OPM civilian, or contractor employee	unescorted entry into restricted areas, access to sensitive areas, or equipment	before authorizing entry or access (see notes 5 and 6)
<b>8</b>	nonappropriated fund employee	employment in a position of trust	before performing duties (see notes 3 and 7)
<b>9</b>	person requiring access to chemical agents	access to or security of chemical agents	before assignment (see note 1)
<b>10</b>	United States military member or United States national civilian employee nominee for customs inspector duty	customs inspector duty	before assignment (see note 1) ( <i>Note: A valid ENTNAC current within 5 years suffices for DoD military personnel</i> )

11	United States national employee	a DoD building pass	before issuance
12	foreign national personnel employed overseas	no access to classified information	before employment (see note 2)
13	United States military member, DoD civilian, or contractor employee	assignment to North Atlantic Treaty Organization positions	before performing duties and at 5-year intervals thereafter while assigned (see note 1)
14		Secret special access programs (see note 10)	
15			
16		assignment to a controlled personnel reliability program position	
17		assignment to automatic data processing I positions	before assignment (see note 11)
18	health professional	active duty	at the time the application for commission is received
19	legal counsel	representing Air Force personnel in litigation or personnel security adjudicative proceedings requiring Secret access	prior to granting access
20 (Added) (AFMC)		individuals in child care services require NACs as part of the background checks required before performing out of line of sight of an individual with a favorable background investigation	

**NOTES:**

1. A NAC or NACI must be current within 5 years or a new investigation is required.
2. The NAC must consist of a (a) host-government law enforcement and security agency records check at the city, state, province, and national level and (b) a defense clearance and investigations index check.
3. Background checks on employees in child care services include a check of the state criminal history repository. The state criminal history repository checks are for suitability affecting the consolidated civilian personnel office and morale, welfare, and recreation programs. The consolidated civilian personnel office sends out and receives the state criminal history repository.

4. Prior enlisted personnel may be commissioned based on a current ENTNAC.
5. Air Reserve forces personnel with a current ENTNAC or NAC on file may have unescorted entry to restricted areas while in civilian status, pending completion of the required NACI.
6. A favorably completed ENTNAC meets the investigative requirements for prior military members who have been honorably discharged less than 24 months and are DoD contractor personnel. For active duty personnel, an ENTNAC meets the investigative requirements for unescorted entry. DoD and OPM civilians require a favorable NACI with no break in federal service greater than 24 months.
7. A NAC must be current within 24 months prior to employment or a new investigation is required.
8. The individual must agree in writing that if the results of the investigation are unfavorable he or she will be subject to discharge. Under the exception, commissions in the reserve components other than the National Guard may be offered to immigrant aliens.
9. Reserve officer training candidate graduates who delay entry on active duty pending completion of further college study are not authorized a new NAC once they have been commissioned. Request recertification when the officer comes on active duty.
10. To ensure the required NAC is not rejected when a current ENTNAC is on file, in Block I, DD Form 398-2, check "Secret" and "Other." Beside "Other," print "SPR" and circle in red. For additional information refer to AFI 16-701, The US Air Force Special Access Program.
11. An ENTNAC meets the investigative requirements for military personnel.

**Table A3.2. Guide for Requesting SSBI.**

<b>R U L E</b>	<b>A</b>	<b>B</b>	<b>C</b>
	If the individual is a (an)	and duties require	then a favorably completed SSBI is required before
<b>1</b>	United States national military member, civilian, or contractor employee	Top Secret clearance	granting final clearance
<b>2</b>		assignment to a "critical or special sensitive position"	assignment to position
<b>3</b>		assignment to a "critical" position in the personnel reliability program	assignment to a "critical" position
<b>4</b>		automatic data processing II or III positions	assignment
<b>5</b>		assignment to a category one or two presidential support position	
<b>6</b>		access to North Atlantic Treaty Organization COSMIC Top Secret or COSMIC Top Secret ATOMAL (see note 1)	access may be granted
<b>7</b>		access to SCI or an approved special access program	granting access
<b>8</b>		access to SIOP-ESI	
<b>9</b>		assignment to the national security agency	assignment
<b>10</b>		assignment to the defense courier service	
<b>11</b>		assignment to personnel security adjudicative functions, counterintelligence, or criminal investigative or direct investigative support duties	
<b>13</b>	immigrant alien	limited access to Secret or Confidential information	issuing limited access authorization

13	non-United States national employee		
14		the education and orientation of military personnel	performing duties
15		unescorted entry to Priority A and B restricted areas	authorized entry

**NOTE:**

1. DoD contractor personnel require an SSBI for access to North Atlantic Treaty Organization (NATO) Secret ATOMAL AFJI 31-404, **Safeguarding NATO Classified**).

**Table A3.3. Guide For Requesting Periodic Reinvestigations.**

<b>R U L E</b>	<b>A</b>	<b>B</b>	<b>C</b>
	If the individual is a	and duties require	then request a periodic reinvestigation
<b>1</b>	United States national military member, DoD civilian, or contractor employee	access to Top Secret	54 months from date of last SSBI, special background investigation, background investigation, or periodic reinvestigation
<b>2</b>		access to SCI	
<b>3</b>		assignment to presidential support	
<b>4</b>		North Atlantic Treaty Organization COSMIC Top Secret or COSMIC Top Secret ATOMAL (see note 1)	
<b>5</b>		assignment to an automatic data processing I position	
<b>6</b>		access to SIOP-ESI	
<b>7</b>		assignment to AFOSI duties	
<b>8</b>		assignment to a critical personnel reliability program position	
<b>9</b>		access to Top Secret special access programs	
<b>10</b>	United States national civilian employee	assignment to a special or critical sensitive position	
<b>11</b>	Non-United States national employee	limited access authorization	
<b>12</b>		unescorted entry to Priority A or B restricted areas	
<b>13</b>	United States national military member, DoD civilian, or contractor employee	access to an approved Secret special access program	54 months from date of last investigation
<b>14</b>		North Atlantic Treaty Organization Secret	
<b>15</b>		access to Secret information	15 years from the date of the last investigation



***NOTES:***

1. DoD contractor personnel require an SSBI for access to North Atlantic Treaty Organization Secret ATOMAL (AFJI 31-404).
2. (Added - AFMC) Background checks including installation records checks (IRC) and Defense Clearance and Investigation Index (DCII) checks are required every five years for individuals in child care services.

## Attachment 4

## GUIDE FOR UNESCORTED ENTRY TO RESTRICTED AREAS

Table A4.1. Unescorted Entry To Restricted Areas.

R U L E	A	B	C
	If the individual is a (an)	and duties require unescorted entry into restricted areas, access to sensitive areas, or equipment	then the following favorably completed investigation is required before
1	United States active duty, retired, or separated military member with an Honorable Discharge and no break in service greater than 24 months.		ENTNAC
2	DoD and OPM civilians with no break in federal service greater than 24 months		NACI
3	Department of Energy employees with no break in service greater than 24 months		"L" (Secret) clearance
4	The Federal employees		NAC or equivalent investigation certified by the agency
5	Contractor employees		NAC
6	Foreign National Military members and host military members assigned to USAF activities		entry authorization is based on government-to-government agreements, treaties, and unified command directives. (see note 1)

**NOTE:**

1. For Foreign nationals, an SSBI, SBI, or BI is required for restricted areas containing Priority A or B resources, and a local agency check for restricted areas containing Priority C resources. Forward requests directly to the servicing AFOSI rather than DIS for SSBI in overseas areas.

## Attachment 5

GUIDE FOR ASSIGNING SECURITY ACCESS CODE TO EACH AUTHORIZED MAN-  
POWER POSITION

Table A5.1. Guide For Assigning Security Access Code To Each Authorized Manpower Position.

R U L E	A	B
	<b>If day-today duties require access to</b>	<b>then security access requirement code is</b>
	<b>1</b> no access	"0" or "Blank"
	<b>2</b> Secret	1
	<b>3</b> Top Secret	2
	<b>4</b> SIOP-ESI, AFOSI, DoD courier, or Presidential Support	3
	<b>5</b> SCI	"S"